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ABSTRACT

This symposium attempts to bring librarians and university presidents together, to alert the presidents to some of the conditions that have blocked librarians from more daring, and presumably more fruitful, cooperative ventures; to seek their understanding and concern for those considerations, and to elicit council, encouragement or discouragement to continue, and assistance in overcoming those barriers deemed surmountable. To accomplish this, this paper enumerates four possible cooperative library projects that librarians cannot implement by themselves. These projects include: (1) jointly owned and operated library facility for high density storage and special collections, (2) joint computer facilities, (3) cooperative collection development and (4) cooperative long-range planning. (MF)

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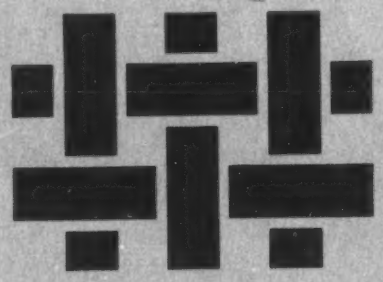

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RATIONALIZING RESEARCH LIBRARIES IN THE 70'S

PROCEEDINGS OF A SYMPOSIUM SPONSORED
BY THE FIVE ASSOCIATED UNIVERSITY LIBRARIES
NOVEMBER 12, 1970

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INTRODUCTION--FAUL MEETING WITH PRESIDENTS

No organization should exist without periodic reexamination. That is our purpose here today. We believe our presidents should have the opportunity to reexamine our problems, learn what we have done, what we can do, and why we have not done as well as we hoped.

FAUL was begun with great hope. We believed that the time had come to cooperate, since we could no longer provide all of the informational resources our users demanded. The possibility of five institutions jointly solving their library problems rather than one seemed to us an obvious direction to go for solutions to our needs.

We are now facing even greater financial difficulties, making it all the more important that we combine our resources. The concentration of resources enhances our value to our users at less cost to each. We can see before us greater definition of collecting parameters and better deployment of specialists, and as a result a shortening of the collecting spectrum at a savings.

The papers being presented to you today will help you to see our situation, and out of the discussion which will follow we hope will come your combined expressions of whether we have done well and should continue our endeavors in FAUL.

PROBLEMS AND ASSUMPTIONS IN RESEARCH LIBRARIES

by
Ben C. Bowman

The word Rationalization is not used in the name of this discussion in its secondary, somewhat pejorative sense: "to explain, justify, or make excuses for." Nor is it intended here to disguise an already familiar litany of justifications for ever-increasing supplies of dollars under a new rubric.

More in keeping with the primary sense of the word, this dialogue will concern getting the most out of available dollars, people, and bibliographic resources in the decade ahead. It will suggest for consideration some of the assumptions and principles that many people feel must be applied to rationalizing the problems of operating and continuing to enrich research libraries during the next ten years -- a decade in which supplying dollars for research libraries promises to become increasingly difficult.

First, this presentation will attempt to summarize briefly research library problems of growth and development and to outline what now appear to be largely outmoded assumptions that seem to have been implicit in the processes of rationalizing them during the past fifteen or twenty years. Second, because dollar supply is becoming tighter and projections of cost-space-growth problems are upward toward crisis, this paper will propose a set of principles, not altogether new and certainly not original, which are today more applicable to the job of rationalizing what lies ahead of us. Third, it will indicate briefly their implications for forms of cooperative and centralized operations and services which will be discussed in subsequent papers in this symposium.

The problems of research libraries, it would seem, must be familiar, if not clear, to university presidents, for their required (albeit hurried) reading includes "Budget Request Justifications" based upon the information explosion, the rising cost of books and of people to acquire and organize them, the need for more space for ongoing as well as for new programs - for more of

everything; and "Annual Reports," predicting dire consequences for the entire educational process if book budgets, space, and staffs are not at least doubled.

During the "good times" of the 50's and 60's, university presidents did provide considerable amounts of the "more" with dollars that were then comparatively plentiful. The essential problems of research libraries (rising costs, diminishing space, demand for variety and depth of old and new collections and new services, all intensified by expanding enrollments) tended consequently to be solved with additional dollars. There was, in short a preoccupation with short-range or uncontrolled growth.

This is not to suggest that emphasis on growth and reliance on added dollars were sole principles governing research library development in the past. During the past decade especially the idea of consortia and networks received considerable attention, support, and impetus both from national funding sources and from individual libraries. National bibliographical efforts such as the Library of Congress Shared Cataloging project were launched, and a number of programs were conceived, funded, and brought to varying states of success.

However, though the problems dealt with during the past twenty years were often outlined or summarized, the assumptions which underlay them were not often or as clearly acknowledged or queried. But certain of these assumptions did seem to govern, and indeed continue to govern, much of research library development and are in need of serious review and modification. Briefly and somewhat over-simplified perhaps, they are:

1) the acquisition programs of research libraries should as far as possible aim at comprehensiveness and depth;

2) these programs should, accordingly, be individually or locally self-reliant;

3) locally developed, customized bibliographical standards and practices regarding forms of entry, subject headings, and shelf classification of materials

are inviolable, though they are expensive to perpetuate and often incompatible with those of other libraries.

Recent cost-space-growth projections, however, are upward, making indeed these assumptions less applicable. Recent financial support indicators and several studies and analyses, combined with both librarian and reader observation, not only substantiate this proposition but indeed point projections toward near crisis levels.

Inflation and diminishing federal support are already budget-conditioning realities. A 1967 study On the Economics of Library Operation by the National Advisory Commission on Libraries, taking into account rising costs of books (much steeper than the national price index); inflationary pressures on salaries and wages; and the comparatively low increase in unit productivity in libraries, concluded that: " ... even if we were to be satisfied to offer no improvements in the services offered by the libraries, no increase in number of persons served and no growth in the number of volumes carried, the costs of library operation could be expected to rise. Moreover, (that) these rises alone are, by their nature, progressive and cumulative". But pressures pushing unit costs and volume of operation upward do continue. Current estimates, though there is some recent indication of a decrease, indicate that the rate of publication is still doubling every fifteen years. New library space is no sooner added than it seems to be filled. Is not Cornell's Olin Library already almost filled? How much collection growth will Syracuse's new facility be able to accommodate at time of occupancy? Though Rochester's Rush Rhees Library currently appears good for another ten years, its Music Library is seriously overloaded.

Moreover, both librarians and readers are finding off-campus storage, cataloging arrearages, and manual systems in such processing areas as serials control to be increasingly expensive and unsatisfactory. Even so essential, effective, and proven a program as interlibrary lending is threatened. The largest research

libraries, lenders basically, are putting as much as $50,000 - $100,000 of local funds into this service, and such expenditures are being severely questioned at some institutions.

Since it is clear that research library problems are intensifying, some new or modified principles are surely required for rationalizing them in the 70's. Briefly stated, they indicate that research libraries should give increasing attention to:

1) availability as opposed to acquisition;

2) cooperation as opposed to self-reliance or independence;

3) acceptance, utilizing electronic data-processing and storage techniques, of centrally produced, standardized bibliographical data, as opposed to creation of local, customized variations of such data.

Finally, what is implied by any successful application of these principles to the rationalization of research library problems during the 70's? Certainly there is need to direct our attention: (1) to union catalogs; (2) to high level commitment, after study, to centralized facilities and/or activities and to network concepts of resource development and sharing; (3) to coordinated long-range planning; (4) to strongly supported commitment to non-local, nationally or regionally centralized, bibliographic standards; and (5) to sharing the cost of designing and implementing compatible bibliographical control and processing systems.

The following papers will go more fully into the implications of these needs.

COORDINATION OF LIBRARY RESOURCES IN NEW YORK STATE

by
Myles Slatin

The libraries of FAUL are exploring ways in which they can become strong either by surrender or by appearing to cooperate like beautiful women. Any attempt to understand FAUL must describe the mating game being played by FAUL and the New York State Education Department.

This symposium celebrates a month early the tenth anniversary of the release of the preliminary report of the Committee on Reference and Research Library Resources appointed by the Commissioner of Education of the State of New York; the final report was published in December 1961. This meeting comes just after the release of the report of the "Commissioner's Committee on Library Development", and one day after Commissioner Nyquist issued a new statement on library policy based on that report; it is the first such statement adopted by the Board of Regents.

The 1961 report found that:

> A solution to the problem of present inadequacies in the availability of reference and research materials in New York State must be found if we are to continue our present position of economic and intellectual leadership.
>
> This solution must be based upon a total coordinated program which will include college, university, public, private, and special libraries.

To implement its report the Committee recommended the "establishment of a State Reference and Research Library Resources Board...of nine members" with responsibility for both policy determination and "the operation of the state-wide services necessary to the development of a reference and research library program". It also recommended the establishment of a "network of not more than eleven regional reference and research library systems".

The focal points and models for the proposed system were the public library systems of the state, which "provide a facility through which all residents...whether or not they are affiliated with an institution engaged in research, may gain access to the proposed chain of library facilities". But the most significant statement in the Report was a call "for welding the state libraries into an integrated function--an active, dynamic, communications network--utilizing modern methods of information retrieval, storage, and dissemination..." It was a comprehensive and far-sighted plan, bold in outline, relatively inexpensive (the proposed funding formula would have cost about $8 million a year), and infernally difficult to execute.

Considering that two further studies by Nelson Associates were required in 1962 and 1963, and considering that no funding for the regional or 3 R's program was provided until fiscal 1966-67, things have moved fairly quickly.

Each of the FAUL libraries is now a member of a regional reference and research library resources Council; there are nine such Councils in the State, and the five libraries belong to four of them; in each of the four a FAUL library is the largest and the most significant resource.

The present level of funding for the 3 R's is low. Each Council gets approximately $55,000 a year, just enough for some small projects and for salaries for a director and a secretary. There has been some floundering, but the regional organizations do exist, they do provide a basis for coordination by the State Education Department, they do provide a vehicle for contractual agreements.

The 3 R's are only one part of the effort to carry out the recommendations of the 1961 Report. The various agencies dealing with library resources in the State Education Department have been enlarged and strengthened, and the State Library, like an earlier resident of Dutch New York, has bestirred itself.

In 1966 the Division of Library Development of the State Education Department established the New York State Interlibrary Loan network, or NYSILL. NYSILL is essentially a routing system designed to monitor interlibrary loan request traffic, to see that requests get filled as speedily as possible without overloading any one library. Certain libraries, like Cornell, have been designated as major referral centers; others, like Buffalo, backstop a public library system. NYSILL reimburses libraries for searching and for filling requests, and after an awkward beginning, it has become an effective and useful way of providing materials for and from a wide variety of users and libraries. The Division of Library Development is computerizing its records of NYSILL transactions, and the resulting data should prove useful for identifying collection needs in the various regions of the State.

Under the auspices of the State, the Association of New York Libraries for Technical Services (ANYLTS) has come into existence. The pilot plant for the automated centralized processing of library materials for the public library systems of the State is beginning operations on Long Island. Research libraries, such as those in FAUL, have not been involved in the planning of ANYLTS, and they are disturbed by this exclusion.

The massive funding of State University did not begin until after 1961. By 1963 the Nelson Associates Study of the 3 R's proposal needed to say something new: "The 3 R's program and State University library development plans at the various graduate centers should be coordinated..."

The Bundy Report of 1968 saw a similar need:

> "Since the library needs of the State University are extensive and since there is an understandable desire on its part to link its campuses together in a cooperative fashion there is some risk that two separate statewide library networks may come into being, one public and one private. Such a development...would be unfortunate...It is very much in

> the interest of the state as a whole to provide inducements--including proper compensation--for these private libraries to share their resources and also to insure that, as the libraries of the public institutions are strengthened, their resources also will be made widely available".

State University did have network plans of its own: for the creation of a machine-readable union list of cataloged monographs, depending upon Buffalo's collection; and for the creation of a machine-accessible record of all SUNY holdings in a coordinated network. Phase I of this latter project was the Biomedical Communication Network (BCN) at the Upstate Medical Center at Syracuse.

The creation of the BCN led to a SUNY list of serials as a by-product; this led to another project, a state-wide union list of serials, funded by the State Education Department. Phase I of this project has been completed, and Phases II and III are awaiting funding. Three FAUL libraries have contracted with BCN for a study of the feasibility of creating a common serials control system related to the serials control program now under development at the State Library. BCN is funded by State University, by private institutions, by the State Library, by FAUL. It is the one organization now in existence which serves all these agencies.

The Department of Education, and the Chancellors of SUNY and CUNY, have all been involved in attempts to provide funds to the New York Public Library so that it may serve as a state-wide resource and as a graduate and research library for the City University. In the near future, as coordination becomes more visible, one can expect that library funding will be looked at in some new ways, perhaps along the lines suggested by the Bundy Report. One straw in the wind is the recent reorganization of the Division of the Budget so that budget requests for State University, CUNY, the contract colleges, and the State Education Department will flow to the governor through one office.

The 1970 Commissioner's Committee Report has extended and widened the library mission of the State: it recommends that every citizen be entitled to convenient access to local libraries "which are part of a state-wide network"; that special-purpose networks be planned, funded, and coordinated by the State; that "every possible means should be used to strengthen and coordinate library and library-related agencies within the Education Department"; that the State should "develop and enforce standards of service applying to all library agencies supported by public funds". There are other far-reaching recommendations, but the central point of the Report is its recommendation that the State continue to play a centrally powerful and a growing role in the development of a library resources program which will meet the needs of every citizen of the State, using a combination of private and public resources and agencies to do so, and treating all libraries as related parts of one whole.

It is too early to tell what the impact of the new Report will be. But a memorandum of October 27 from the Director of the Division of the Library Development informs that, partly in response to the 1970 Report, the Regents have prepared and adopted a policy paper on libraries, to be released by Commissioner Nyquist this week. Apparently, the State is taking libraries and its coordination efforts seriously.

Were FAUL's members to act in concert to influence the development of 3 R's they might wield immense power, the converse is also true. Perhaps because of this power FAUL and the Education Department look at each other with a feeling on both sides that each is not really understood, and that each has very great potential power to help or hinder. Should SUNY begin a powerful effort at network development, and should the 3 R's programs have funds to realize their potential, FAUL may wonder where its best and most fundamental interests lie.

As research libraries FAUL members have more in common with each other than they have with the public or college libraries in their regions. The FAUL consortium seems to be the only formal organizational link between its members and between the institutions they represent, even though two of the members are in SUNY. FAUL members feel that there may be a real danger that if they do not cooperate with each other and with the 3 R's program, they will not be able to serve their own institutions as those institutions have a right to expect. There may be an equal danger that cooperation will divert a considerable share of attention from their respective home campuses.

Within 3 R's and in cooperation with the State Library, it is possible for FAUL to become a trans-regional network. If it becomes that, then what FAUL members do together must be compatible with what the State does, and the State's plans must take FAUL's into consideration. Whatever is done will have great implications for the academic programs of the five universities, for their budgets, and for their relations with agencies of the State of New York.

PAST ACTIVITIES OF THE FIVE ASSOCIATED UNIVERSITY LIBRARIES

by
Ron Miller

This report will review briefly the major actions by the Five Associated University Libraries (FAUL) during their three years as a consortium and to put them within a context. It will provide a brief descriptive inventory of actions first and then conclude with a few simple observations.

The context for action is found in the FAUL Constitution, ratified by the group in August 1967 as its first official document. This document states that (Figure 1), the purposes of the organization are: to study and develop coordinated acquisitions policies in order to rationalize the scope of materials acquired by each library; to study and develop means for sharing these and other resources; to share common storage facilities; and to develop rapid and easy communications systems among the five universities; to seek compatible machine systems and other cooperative activities; as well as to construct a coordinated plan for long range growth of a "FAUL library system."

This paper will now take up each of these seven objectives seriatim and, by describing about twenty selected activities, will illustrate the route FAUL has followed toward attaining them. (Figure 2).

1. Coordination of acquisitions policies really began before FAUL was officially formed when in 1967 library materials in Arabic acquired by Syracuse University under PL480 were transferred to SUNY-Binghamton. The former had no academic program needing this material and the latter did. This happy arrangement continues today.

A FAUL Acquisitions Committee was, however, formed early in FAUL's existence and charged with the task of fulfilling this first objective. After a year

three significant actions had occurred: (1) collecting policies of each library were inventoried and printed, (2) decisions were shared about purchases of a few large or expensive acquisitions; and then (3) the Committee was disbanded.

An 84-page report on joint collection development has now been completed by a consultant and it supplies the Board with an array of options from which to select future FAUL activity in this important area.

2. The coordination of library acquisitions is closely tied to (Figure 3), sharing them in service to users. Therefore, the group set as its second objective the study and development of means for sharing library resources. In this case, however, resources were defined not only to include the materials which a library may have acquired but also to include the sharing of both the ideas generated by local staff members and the procedures which each local library has developed to perform its complex services to its user community.

The first such action initiated was a staff visitation program. Staff members from the several circulation control departments visited each other's libraries on a rotating basis for two days per institution spread over a five-month period. This arrangement was planned to coincide with another activity in FAUL concerning the automation of circulation control systems. It is planned that this program will be extended shortly to staff members working in the serials control sections of each library.

A major reason for sharing resources is to minimize the cost of acquiring specialized materials which another library already owns, but this saving is meaningless unless access to materials held by a remote library is easy and simple for the local library. A move in this direction has been the "In-Person Borrowing Privileges" agreement. This policy encourages doctoral candidates and faculty members to use FAUL collections by reducing the administrative barriers to their doing so. It has been in effect since January 1970 with few attendant problems. A goal has been set to expand the coverage of this agreement until all graduate students served by FAUL are included under it.

Since much of the transfer of materials in libraries is now in the form of photocopies, a decision was also made to drop charges for these services. No problems have been discovered here yet either.

FAUL has also produced some documents which facilitate use of their materials, since resources cannot be easily shared unless users and librarians have some way of finding out what these resources are. The FAUL Directory, Manuscripts for Research, and the FAUL Handbook are intended so to aid users of the five libraries. A large project concerned with a short title catalog of eighteenth-century holdings of the five libraries presently awaits funds from an appropriate agency. Some 20,000 such items owned by FAUL libraries are involved, and computer technology is to be an integral part of its productions.

(Figure 4), 3. The development of shared storage facilities has been an intermittant concern of the group and one of the most frustrating. In essence, a central but shared facility could house seldom-used materials or special collections which, through catalogs and rapid communication and delivery could presumably be made available to any user in any FAUL library reasonably quickly. In addition, special collections from each library on the same subject could presumably be used by researchers in one place instead of five. At least two proposals and one preliminary study have been written or suggested toward this end. Faculty objections have been cited as a major barrier to taking this objective seriously.

The Center for Research Libraries (CRL) in Chicago is already operated on the principle of shared storage, and three FAUL libraries are members of that enterprise. The Center is intended to supply the needs for infrequently used materials of all member libraries in the nation and is therefore in a sense a competitor with FAUL in this regard.

(Figure 5). 4. Rapid communication, as one might expect, is at least in theory as near as a telephone, and the channel provided by the telephone network can be used for telefacsimile, teletype, and computer terminals for data transfer. A state-wide study in 1969 rejected use of telefacsimile for library purposes because the hardware and telephone rates were still too expensive, transmitted copy was poor, and books could not be handled by available equipment. Eventually, of course, this study should be repeated. Meanwhile Syracuse does have a telecopier hook-up between the main library and its annex which appears to be working well for a specialized purpose.

Teletypewriters are owned by all FAUL libraries. They are used primarily for interlibrary loan through the New York State network (NYSILL). A recommendation to use these machines for reference services has been made.

Although the busing or transfer of users has not caught on as a concept at all, FAUL does have a document delivery service running through the United Parcel Service. A study of nine alternative means of transferring materials has revealed that UPS is the optimum method for the moment. This picture, of course, could change as quickly as rate schedules change, and continuous monitoring is necessary.

(Figure 6). 5. An area of cooperative activity which appears to have great pay-off and which has captured the imaginations of several FAUL members has been the application of various technologies to support library operations.

To begin this work a Systems Committee was formed, and studies were initiated on manipulation of bibliographic data in machine-readable form. The results thus far have been disappointing. The "Masfile series" -- designed to develop a large file of bibliographic citations has met with cost barriers, administrative counter-decisions, (e.g., a project of shelf-list conversion at SUNY-Buffalo was halted), and confusion about what work each library wanted to do with such a data store. The use of MARC data from the Library of Congress has not been found attractive by any member library, and preoccupation with local

problems has usually superseded creative application of talent to consortium problems.

The development of standards for compatibility of machine readable ID cards and their use in circulation control systems was fairly easy, but their adoption has been hampered because in some cases decisions were not in the hands of the libraries. Syracuse University is the only member thus far to adopt and implement the recommended standard, which was based on work which Binghamton had done previously.

The establishment of a central FAUL systems team, a concept endorsed by the five universities' computer center directors, has not materialized since long-term commitment to potential employees could not be assured. This short-term view forced reliance upon service bureau personnel who had no basic commitment to FAUL other than fulfilling contracts with a minimum amount of work.

There is currently one bright spot on the horizon, however. Personnel from the Biomedical Communication Network are now working well under contract to FAUL, and both parties to the agreement consider it a valuable investment in the future. Three FAUL libraries have given moderate funds and support to begin development of a joint on-line serials control system. There may be opportunities to expand this effort and to work jointly with such other institutions as the State Library and the New York Public Library. A major problem here, aside from money per se, may be the diversion of funds and work from local computer centers to a central computer system dedicated to serve the massive day-to-day needs of FAUL libraries.

(Figure 7). 6. Other areas of cooperation have included seeking funds for jointly sponsored FAUL Fellowships designed to stimulate research on inter-institutional problems; planning for centralized bibliographical services in order to expand the network concept of shared staff and technical resources; and drafting joint policies on access to special collections in FAUL libraries.

There are solid lines of communication between FAUL and the New York State Library, four of the nine 3 R's Councils in New York State, and with other regional and national library networks, such as the Ohio College Library Center and the New England Library and Information Network (NELINET).

(Figure 8). 7. Planning for long-range growth on a joint basis has proven to be an exceedingly difficult problem since knowledge or even conjecture about the future is oriented toward the short-term. Almost weekly changes in budget futures are, as all know, a major local concern. Various "talk papers" have been composed by Board members on what might be, but that next step -- planning and objective setting -- has been exceedingly sparse. An example is that it took eighteen months to obtain signatures of all Board members on the application for incorporation.

(Figure 9). It is probably clear from the foregoing account that certain assumptions have underlaid FAUL action and inaction to date. These would include:

1) that the quantity and types of published materials are increasing at almost unmanageable rates;

2) that probably no library alone can maintain control of them;

3) that joint action and pooling of funds, talent, and planning allows a better chance for survival, in two ways basically: (a) increasing the number of items that can be supplied without linear increases in staff and attendant overhead costs, and (b) distributing specialities among the members to the degree that the parent universities will permit it;

4) that FAUL libraries have many things in common;

5) that because of this commonality, there are duplicated materials, procedures, tasks, and personnel, some of which can probably be eliminated;

6) that by pooling and standardizing these resources services can in various ways be expanded and the rate of acceleration perhaps be reduced;

7) that once specific tasks have been defined FAUL can attract outside

funding more easily as a consortium than the members can alone;

8) that jointly FAUL can have greater effect upon library development in New York State, thereby enhancing the academic environment for better educational and research opportunities for the students and faculty members of the five institutions.

FIVE ASSOCIATED UNIVERSITY LIBRARIES

TO STUDY AND DEVELOP . . . .

OBJECTIVES

- COORDINATED ACQUISITIONS POLICIES
- MEANS FOR SHARING RESOURCES
- SHARED STORAGE FACILITIES
- COMMUNICATIONS SYSTEMS
- COMPATIBLE MACHINE SYSTEMS
- OTHER AREAS OF COOPERATION
- COORDINATED PLAN FOR LONG RANGE GROWTH

FIGURE 1

TO STUDY AND DEVELOP . . . .

COORDINATED ACQUISITIONS POLICIES

- Public Law 480 (Arabic)
- ACQUISITIONS COMMITTEE
- Report unusual and expensive acquisitions
- " Joint Acquisitions Policy: Subject List Arranged by the Library of Congress Classification System "
- " Cooperative Resource Development in the Five Associated University Libraries "

FIGURE 2

TO STUDY AND DEVELOP . . . .

MEANS FOR SHARING RESOURCES

IDEAS and PROCEDURES

Staff Visitation Program

MATERIALS

In - Person Borrowing Privileges

(faculty and doctoral candidates)

Photocopy agreement

FACILITIES

Centralized Storage

"FAUL Handbook"

"Directory of Personnel in the Five Associated Libraries and Computing Centers"

"Manuscripts for Research"

"Short Title Catalog of 18th Century British Imprints"

FIGURE 3

TO STUDY AND DEVELOP . . . .

SHARED STORAGE FACILITIES

Talk paper (1967)

Configurations

CENTER FOR RESEARCH LIBRARIES
(Chicago)

Proposals

"An Analysis of Book Storage and Transportation Requirements of the Five Associated University Libraries"

FIGURE 4

TO STUDY AND DEVELOP . . . .

EASY AND RAPID COMMUNICATION AMONG THE MEMBERSHIP

telefacsimile

teletype

busing

Library Delivery Service

"Materials Transfer: a Report of a Pilot Document Delivery Service"

FIGURE 5

TO STUDY AND DEVELOP . . . .

COMPATIBLE MACHINE SYSTEMS

SYSTEMS COMMITTEE

MASFILE Series

M A R C Processing Center

Circulation Systems and ID Cards

Systems Team

Joint On-line Serials Control System

FIGURE 6

TO STUDY AND DEVELOP . . . .

OTHER AREAS OF COOPERATION

Joint fellowships

Policies on
- Legal title
- Access to manuscripts
- Photocopying of manuscripts
- Provenance

Centralized Bibliographical Services

NEW YORK STATE LIBRARY

3 R'S COUNCILS

Other Consortia

FIGURE 7

TO STUDY AND DEVELOP . . . .

A COORDINATED POLICY FOR LONG RANGE GROWTH

Talk papers

Incorporation

CONSULTANT ON TECHNICAL DEVELOPMENT

"Talk Program on FAUL Program and Budget Projections"

FIGURE 8

SUMMARY

Acquisitions
Staff Visitations
In-person Borrowing
Photocopying
FAUL Handbook
Directory of Personnel
Manuscripts for Research
Short Title Catalog
Newsletter
Central Storage
Teletype
Library Delivery Service
MASFILE Series
M A R C
Circulation Systems
Joint On-line Series Control System
Joint Fellowships
Policies
Centralized Bibliographical Services
Long Range Planning

FIGURE 9

PROSPECTS FOR ADDITIONAL COOPERATION AMONG RESEARCH LIBRARIES

by
Josiah T. Newcomb

The purpose of this paper is to indicate some additional things FAUL can still do within its own prerogatives; this is interpreted here as meaning what FAUL is theoretically capable of doing within its present structure and available resources. Certainly a combination of chief librarians and senior academic officers of five upstate universities should be capable of doing something for the common good.

There is a temptation here to lean heavily on photography, electronic data processing, and similar new and exciting technologies to prepare a blue sky list of things FAUL can do. The new technologies hold promise of instant accessibility to both bibliographic information and text at almost any place from almost anywhere. It holds the promise of releasing libraries from drudgery and repetitive acts. It even holds the promise of automating fairly simple judgments. But happily blue sky has fallen out of favor, and the author is spared that amusing but unproductive exercise and the reader is spared hearing it once again. Certainly FAUL can and must keep the technology in mind and exploit it whenever it can be applied at reasonable cost in money, man-hours, and convenience to the academic world. The great new push-button world of the future <u>will come</u> one day. FAUL can help its members to adjust to it as it evolves. Certainly when it <u>does</u> come to the world of academic libraries its milieu will not be the lonely, self-reliant, acquisitive , and independent library.

At the other extreme, this report could comprise a list of nitty-gritty, down-to-earth, useful-tomorrow projects. As has already been noted, FAUL has published a communal list of manuscript holdings; it has identified and pooled the bibliographic information of its members' respective holdings of eighteenth-century English books. Members have become more familiar with each other as

individuals and as institutions, and more of this sort of thing can be done. These and similar projects which can be added to bit-by-bit to make a very impressive whole may alone justify the existence of FAUL.

But this symposium was conceived with a nobler purpose -- no less than that of seeking to identify and implement a rational modus operandi for the libraries of these five universities in the 70's, acting in concert to achieve mutual benefit. Previous papers herein have already helped to gain this focus, especially in the three points identified by the first; this paper will attempt to build thereon.

The first paper has suggested three assumptions which have governed the development of research libraries during the 50's and 60's and even before, and three counter assertions which it is felt must be met in the 70's. They are not mutually exclusive, but if carried out logically they would result in a shift of emphasis.

Point 1 refers to the research library's passion for comprehensiveness and depth in the acquisitions of materials. The passion is still there, among faculties certainly, but institutions lost the performance capability long ago in an explosion of subject specialization, an explosion of knowledge, and a resultant explosion in quantity of publication. The first paper's counterpoint suggests a turnaround in emphasis. Availability should be emphasized, not to the exclusion of acquisitions certainly, but there is food for thought in the proposition that if something is readily available in one of our institutions perhaps no other among us need acquire it. What can FAUL do? FAUL can effect the exchange of materials for specific purposes. FAUL can do a great deal more than it has done in the past by way of informing each of its members as to what the other has. A very useful thing at SUNY-Binghamton has been a microfilm copy of the Cornell catalog, a relatively simple and inexpensive exploitation of technology.

Another previous paper has mentioned the 3 R's Councils, regional consortia under State auspices embracing smaller academic and public libraries. In the one to which Binghamton and Cornell belong, two quite simple devices have proved to be quite helpful. The consortium itself by contract with Cornell has placed one librarian and one clerk in the library at Cornell. The sole duty of this small staff is to serve the needs of the members of the consortium, utilizing for that purpose not only the great bibliographic resources of Cornell, but its library system, its personnel resources, and its management. The university receives at least token payment for the use of these resources and the smaller academic libraries of the region especially have benefitted significantly by this on-site access to Cornell.

An even less sophisticated and less costly device used in this Regional Council is a telephone credit card. This has stimulated a trickle of communication and material among these libraries that simply did not exist before.

These are small and tentative steps. Perhaps they are not applicable to FAUL. They are cited here, however, because they accent imagination and ingenuity rather than technological wizardry. There is no need to wait for the great push-button world of the future to begin to pay greater attention to availability among FAUL libraries.

Point 2 in the first paper notes that the research library has thought of itself as being largely self-reliant and self-sufficient. Of course, it has never truly been so, but that has been its self-image. The counterpoint is that the self-image is no longer tenable and only through cooperation with other libraries can any research library in the 70's hope successfully to discharge its obligation to the academic community it serves.

FAUL can be the vehicle, or one of several vehicles, for meaningful cooperation among the libraries of the five universities. Timid first steps have been taken along this road. On their own authority FAUL librarians have extended

borrowing privileges to all five faculties and to all doctoral candidates, and there are steps underway to extend such privileges to all graduate students. The heavens have not fallen in; Binghamton has not moved to Ithaca or to Syracuse; Buffalo has not inundated Rochester; and we take courage. Less timid and more meaningful steps in cooperative exploitation of resources, materials and staff can be taken by FAUL.

The first paper's third point deals with the technology, not only of computers, but of typewriters, catalogs, and date-due stamps. It notes very real differemes in the present technology among the five FAUL libraries despite mutual commitment to the same classification scheme, the same scheme of bibliographic citation, and the same general standards of library practice. The counterpoint in the first paper looks to a single unified standard applicable in all or most facets of the five libraries' separate operations. A caricature of the counterpoint is to say, "Let's adopt one simple unified standard and stick with it. Electronic data processing will make all else inevitable and inviting."

What can FAUL do here? This really is where FAUL began, and to a considerable degree efforts to date have simply documented point three, the separateness of the five libraries, while seeking its elusive counterpoint, their unity. Often enough to be a matter of concern, FAUL has found its vision obscured and its path obstructed by points of individual tradition, institutional preference, and substantial investment in existing accomplishment.

FAUL can take another look. Perhaps it would find that in the matter of contemporary library techniques of bibliographic identification and control similarities among the five are greater by far than the differences. Users can move among our "locally...customized bibliographic standards..." with comparative ease. Are the differences, in fact, nearly as significant as the similarities?

Perhaps FAUL can and should do a turn-about of its own and look closely at the similarities among its members. Given the will to do so, FAUL can by emphasizing these similarities successfully interface availability with acquisitions and cooperation with independence.

EXTRA-LIBRARY BARRIERS TO INTERLIBRARY COOPERATION

by
David Kaser

As librarians consider various cooperative mechanisms for overcoming some of the library problems anticipated in the 1970's they sustain experiences common to anyone who dreams a lot; namely, they find their imaginations stymied by conditions beyond their control. In such cases, of course, productive men attempt to accomplish notwithstanding the constraints imposed upon them, and previous papers have recited both FAUL's past efforts to do that and how FAUL will in the future continue and indeed redouble its efforts to do so.

In pondering the frustrations resulting from extra-library factors, however, librarians are impressed that the most gnawing among them are not those that proceed out of nice distinctions between the real and the unreal worlds, or from the eternal verities, or from circumstances that need always to be arrayed against them. They are most troubled rather by those frustrations that seem to exceed by only a hair their ability to overcome; indeed they result almost always from local conditions which librarians suspect ought somehow to be alterable by their parent institutions if they as librarians but knew how to go about gaining their modification.

The purpose of this symposium is to bring librarians and presidents together, to alert presidents to some of these conditions that have blocked librarians from more daring, and presumably more fruitful, cooperative ventures; to seek their understanding and concern for those considerations, and to elicit counsel, encouragement or discouragement to continue, and assistance in overcoming those barriers deemed surmountable. To do this, this paper will enumerate four possible cooperative library projects that librarians cannot by themselves implement. In doing so, however, two things should be stressed:

1) in no one of these cases are FAUL librarians prepared at this time to recommend action, because they have not yet completed their own study of them. They are, however, examples of activities that have appealed to one or more FAUL members intuitively as having possible library value to instruction and research in the five university community;

2) FAUL librarians are not so naive as to believe that immediate ex cathedra resolution to all of the problems that plague them lies firmly within their presidents' grasps either. They suspect rather that some of the conditions to which this paper will allude may be just as chronic and pesky to presidents at their echelon as they are to librarians on a lower echelon.

This, however, FAUL librarians do know: no matter how fruitful the following four kinds of interlibrary cooperative activity might upon examination prove to be, it would be wasteful even to discuss them further unless each FAUL president also felt somewhat sanguine as to their ultimate saleability to their respective constituencies.

This paper would first then invite attention to how FAUL might benefit from a jointly owned and operated library facility at some location central to the area although concomitantly remote from any one of the member institutions. Geneva has been suggested as such a location. Two different concepts of a joint library have been suggested: 1) a high density storage stack of least used books deposited from the five separate collections, and 2) a library into which members would merge, and from which they would serve their special collections -- rare books, perhaps, manuscripts, and archives. There are strong arguments, both academic and emotional, against the members separating themselves individually from their respective holdings in this manner, and there are also some such arguments for it. Moreover it is not at all certain that the savings that can be gleaned from remote cooperative storage would not be more than offset by the added costs of requisite delivery systems and increased record keeping. The

many considerations pro and con, however, can be identified and evaluated in proper season. The point here is that under no circumstances could a decision for a joint library be made unilaterally by librarians no matter how compelling the evidence supporting it might prove ultimately to be. Perhaps also librarians ought not to decide unilaterally against such a concept; there may be extra-library value to universities in having such a joint library.

As a second possibility for joint development, attention is invited to a common FAUL computer facility, hardware and software, tailored specifically to the unique requirements of library operations. Geographic centrality would presumably be less important here, since remote terminals could access common files wherever they were. This concept would be extremely expensive to implement, although ultimate operating costs would likely be less than if each member individually were ultimately to utilize similarly comprehensive machine systems on a decentralized basis. At least this was the cautious conclusion of a convocation last year of the computer center directors in the five universities.

Such centralization of machine systems analysis, design, and operation would present many difficult problems. It would, for example, force standardization upon the member libraries. Some would in certain operations have to raise their individual standards to those adopted by the group, and that costs money. In other operations some would have to settle for lower standards, and that is expensive in its impact upon institutional pride, dignity, and morale. Another problem implicit in a centralized machine processing facility -- indeed one that to a lesser degree permeates all joint efforts -- is the need to subordinate individual priorities to the priorities of the group. It requires real finesse and strong administrative understanding and support for a librarian with a major local problem to explain to his faculty that resolution of that problem must wait two years because it is of low priority in four neighboring institutions. Still another problem is that the administrative structures of the five universities

are understandably diverse so that some librarians have greater authority to determine the course of their library mechanization efforts than do others. Finally, of course, is the big question: how practicable a matter is it to consider merging five autonymous and discrete systems, allegiances, and funds, some public and some private, to the establishment and operation of any joint facility?

Librarians have long been troubled also by barriers they have experienced in the consideration of cooperative collection development. In the abstract, this looks splendidly simple. One library collects English poetry, and another collects American poetry. This appearance of simplicity, however, is a snare and a delusion unless there is also joint curriculum coordination, and this is an area certainly outside the responsibility of librarians to influence. Librarians suspect that to a greater or lesser degree presidents have difficulty sustaining effective levels of curriculum coordination even within their respective universities, to say nothing of taking on joint curriculum planning among five universities. Certainly there is already internal duplication of purchases within most separate library systems resulting from intra-university duplication of offerings. Librarians seldom have enough strength to sustain a refusal to purchase second copies of books for other libraries within their own system when a gaggle of vociferous senior professors supported by a strong dean insist that their ability to teach and research is being impaired by the absence at hand of copies of materials. For the librarian to contend that requested duplication of material will be denied because another library sixty miles down the road already has a copy can be downright foolhardy. In short, left to stand alone librarians seldom operate from strong enough power bases to control the shape of their respective book collections to the degree necessary for any fruitful kind of joint resource development, except as they can follow a preordained curriculum plan. If only one of five institutions were ever going to teach neuropsychology,

the other four libraries could perhaps rely upon the one at that institution to furnish the books on that subject necessary in the five-university community. Or if it could be offered in two institutions in alternate years, one set of the necessary books could perhaps be bought at shared cost and shipped back and forth annually en bloc. Without benefit of higher attention than their own to this knotty matter, however, librarians are pessimistic of any substantive benefits deriving from efforts in joint collection development.

The fourth example to be cited here of extra-library barriers to library cooperation is the weakness of most university long-range planning, or at least the inaccessibility to librarians of institutional long-range plans, if such do exist. Most librarians have difficulty enough finding adequate institutional planning to enable them to design services and collections intelligently on their own respective campuses; it is well nigh impossible to find adequately fixed institutional plans on the basis of which to seek resolution of problems in the 1970's through an off-campus agency such as FAUL. As may be seen from the kinds of library cooperation already discussed, those offering highest potential are also those of highest risk and those that require the longest vision, longest-term commitment, and subordination of short-range payoff. Depending upon the security one feels in his understanding of his own institution's future, pursuit of such programs can constitute a position somewhere along a spectrum from judicious investment, to capricious speculation, to downright gamble. Doubtless the difficulty of eliciting and sustaining relatively sound long-range academic plans is even more troublesome to presidents than it is to librarians, but librarians need and appreciate whatever advice presidents can give on how they might best gain continuing access to such institutional plans as do exist, however, tenuous, imperfect, and kaleidoscopic they may be. There must be a better way than for librarians to read about university program

changes in the morning newspaper, yet for some librarians the daily newspapers constitute the major source of planning information, and it is a hampering factor in their efforts to develop meaningful cooperative library programs.

These then are four examples of problems in the way of greater interlibrary cooperation among FAUL members, problems believed to be beyond their abilities and prerogatives as librarians to resolve. Yet FAUL librarians believe that these problems, and others like them ought somehow to be within the wisdom and ability of their parent institutions to resolve. Perhaps the librarians are over-sanguine in their aspirations; perhaps the problems lie in some cases beyond any kind of resolution. Either way, however, FAUL librarians need at this stage in the development of the consortium, presidential advice, encouragement or discouragement, and comments upon these matters either individually or collectively, or upon the general matter of library consortium building.

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